

**COVER SHEET FOR AMENDMENT OF
POST-TRAVEL SUBMISSION**

RECEIVED SECRETARY OF THE SENATE PUBLIC RECORDS 2019 JUL 22 AM 11:55

Instructions: Use this form as a cover sheet for any paperwork you may need to submit to the Office of Public Records in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. **Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.**

SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING

Name of Traveler: Robert Axson

Employing Office/Committee: Office of Senator Mike Lee

Travel Expenses Paid by (List all sources): American Enterprise Institute (AEI)

Travel Date(s): 9/19/18-9/22/18

Description/Title of Attached Forms: Private Sponsor Certification Form, final itinerary for the AEI program. Also includes updated Employee Post-Travel Disclosure of Travel Expenses form which reflects that AEI did not pay for transportation costs.

Purpose of Amendment (describe the reason for amending original submission): Incorrect version of the PSTCF had been provided by event sponsor previously.

July 18, 2019
(Date)

Robert Axson
(Signature of Traveler)

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☐ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☐ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): American Enterprise Institute

Travel date(s): Sep. 19-22, 2018

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING **DID NOT INCREASE** DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount		\$223 per night-actual (3 nights)	\$400 (Meals provided--GF estimate)	NA

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Policy discussion meetings with expert presenters filled the evening of Sep 19 and all day on

Sep 20-21. Return travel on the 22.

July 18, 2019 Robert Axson
(Date) (Printed name of traveler)

[Signature]
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

July 18, 2019
(Date)

[Signature]
(Signature of Supervising Senator/Officer)

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The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

- Private Sponsor Certification - Page 1 of 4

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☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

AEI has sponsored educational trips that have included both members and congressional staff. The most recent event was World Forum from March 8-11, 2018, in Sea Island, GA. WF seeks to encourage frank

and free-ranging conversations over a number of public policy issues important to today's world. AEI *expects the Forum to inspire ideas that expand human dignity and human potential at home and abroad.*

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

AEI is a non-partisan, nonprofit, 501(c)(3) educational organization that produces academic research on public policy. AEI also hosts public events and private conferences.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	Total: \$405 Air: \$355 Ground: \$50	Total: \$669 \$223 per night	Total: \$575 (see attached for breakdown)	None

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged or organized without regard to congressional participation.

18. Reason for selecting the location of the event or trip

The event is located inside the AEI building (1789 Massachusetts Ave. NW, Washington, DC, 20036),
which can accommodate plenary and break-out conference sessions.

19. Name and location of hotel or other lodging facility:

The Mayflower Hotel, Autograph Collection (1127 Connecticut Ave. NW, Washington, DC, 20036)

20. Reason(s) for selecting hotel or other lodging facility:

Proximity to conference location and per diem room rates.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Lodging expenses are below per diem. Meal expenses are above per diem, but represent our in-house

dining service's best rate & are the same for all 85 conference participants (see attached for more detail).

It is against our institutional policy to use external food vendors for conferences hosted at AEI.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

AEI will reimburse the cost of round-trip coach airfare from Salt Lake City, UT to Washington, DC. AEI will

also reimburse ground travel costs to & from the airport in Salt Lake City, UT and Washington, DC.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

There are no entertainment activities being provided at the summit.

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor: 

Name and Title: Kara McMahon, External Affairs Associate

Name of Organization: American Enterprise Institute

Address: 1789 Massachusetts Avenue NW, Washington, DC, 20036

Telephone Number: 202.862.5800

Fax Number: 202.862.7177

E-mail Address: Kara.McMahon@aei.org

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(Do not file the Instructions with OPR)

- The Senate Select Committee on Ethics (“Ethics Committee”) has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization’s prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the *Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

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- Example:** A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a *de minimis* level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. *Lobbyist/agent of a foreign principal accompaniment standards:* Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. *At any segment of the trip* means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). *At any point throughout the trip* means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a *de minimis* way. This is a broader prohibition than the *at any segment of a trip* standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a *de minimis* exemption. *De minimis* means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered *de minimis*. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

10. *If travel includes two overnight stays:* The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
11. *An itinerary for the trip is attached to this form:* The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
12. *Briefly describe the role of each sponsor in organizing and conducting the trip:* A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
13. *Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:* Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
14. *Briefly describe each sponsor's prior history of sponsoring congressional trips:* Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
15. *Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):* Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
16. *Total expenses for each participant:* Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

17. ***Congressional participation:*** For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be “reasonable” in accordance with Ethics Committee regulations.
18. ***Reason for selecting the location of the event or trip:*** The location of the trip *must be related to its purpose*. A brief but detailed description of the reason for the selection of the location must be provided.
19. ***Name and location of hotel or other lodging facility:*** Include the exact name and address of the hotel or other lodging facility.
20. ***Reasons for selecting hotel or other lodging facility:*** Provide an explanation of the sponsor’s rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
21. ***Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel:*** Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government *per diem* rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
22. ***Describe the type and class of transportation being provided:*** While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
23. ***Expenses for recreational activity, alcohol, or entertainment:*** The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
24. ***List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:*** Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
25. ***Certification:*** The trip sponsor *must* sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor *must* complete its own signature page and certify that the information contained in the form is true, complete, and correct.



AEI Leadership Network

Estimated Expenses: Policy Summit in DC

September 19–22, 2018

Transportation

Air: \$355.00
Ground: \$50.00
Transportation Total: \$405.00

Lodging:

\$223.00 x 3 room nights = \$669.00
Lodging Total: \$669.00

Meals and Non-Alcoholic Beverages:

Reception: \$60.00 x 3 receptions = \$180.00
Breakfast: \$38.00 x 2 breakfasts = \$76.00
Lunch: \$38.00 x 2 lunches = \$76.00
Dinner: \$81.00 x 3 dinners = \$243.00
Meals & Non-Alcoholic Beverages Total: \$575.00*

**These prices represent our in-house dining services's best rate. It is against our institutional policy to use external food vendors for conferences hosted at AEI. These meals are provided to each of our 85 participants at the conference.*

Other Expenses:

\$0

TOTAL ESTIMATED EXPENSES

\$1,649.00



Fall 2018 Summit Agenda

Members of AEI's Leadership Network (LN) will gather in Washington, DC, for our fall kickoff summit held on September 19–22, 2018. This event will provide LN members with a forum for in-depth policy discussions. We'll cover a range of topics and have plenty of time for dialogue and debate about how these issues affect our local communities.

Wednesday, September 19, 2018

1:58 PM Robert Axson lands in Washington, DC (DCA)

4:00 PM Check in available at the Mayflower Hotel

4:00–5:30 PM Registration and Networking Reception
Get to know your fellow LN members and the AEI team.

5:30–6:30 PM Opening Session: *Is America Coming Apart at the Seams?*
AEI scholar **Charles Murray** will lead a session on his *New York Times* bestselling book *Coming Apart*. We will discuss four great social trends that have affected our society in the past half-century—the decline of marriage, work ethic, respect for the law, and religious observance.

6:30–8:00 PM Dinner and Introductions
Rachel Manfredi will lead basic introductions over dinner. Each participant and staff member should be prepared to quickly introduce themselves to the entire group from their dinner table.

Thursday, September 20, 2018

8:15 AM Breakfast Buffet Opens

8:45–9:45 AM The Case Against Crony Capitalism
How do barriers to competition tip the scales against those with less political and economic capital? AEI Visiting Fellow **Tim Carney** will discuss the importance of reinvigorating a truly competitive economy.

10:00–11:00 AM The Start-Up Life

American free enterprise is not primarily about starting a business and generating massive financial returns. It is about seeing your own life as a dignified, exciting new enterprise with near-limitless horizons that is your own to build, shape, and create. To be sure, public policy and cultural shifts would make it easier for Americans to live start-up lives. But would true entrepreneurs sit back and wait for a more hospitable climate? Of course not. All of us can rebuild

our start-up society by building our own start-up lives. This session will be led by AEI president **Arthur Brooks**.

11:00–12:00 PM Education and Opportunity

AEI's Director of Education Policy Studies **Rick Hess** will discuss the current education policy landscape and importance of increasing opportunity for all students through effective reforms at the state and local level.

12:00–1:00 PM Lunch Break

Open lunch for networking, catching up on emails, etc.

1:00–2:00 PM Fixing the Foster Care System

The opioid epidemic has become a full-blown emergency in the United States, with deaths from prescription painkillers and heroin quadrupling since 2000. The crisis has dramatically increased the number of children in the foster care system as more parents devolve into addiction and are left unable to care for their children. The need to find solutions that help parents end their addiction problems and keep children safe is increasingly pressing. AEI Visiting Fellow **Naomi Schaefer Riley** will lead a discussion on the intersection of drug abuse and foster care reform.

2:15–3:15 PM Breakout Sessions and Discussion

Join AEI scholars for a focused discussion in one of four breakout sessions:

- Economic costs of the opioid crisis with **Alex Brill**
- Career and technical education with **Nat Malkus**
- Paid family leave with **Aparna Mathur**
- Early childhood education with **Katharine Stevens**

3:15–5:30 PM Session Break

5:30–6:30 PM Networking Reception

6:30–8:30 PM Dinner Session: A Safety Net That Works

How can thoughtful reforms to public assistance programs help struggling Americans move up? During this session, **Robert Doar**, AEI's Morgridge Fellow in Poverty Studies, will offer insights on improving the safety net so that it better propels vulnerable Americans toward opportunity and independence.

Friday, September 21, 2018

8:30 AM Breakfast Buffet Opens

9:00–10:15 AM Telling the Human Story

It's one of the paradoxes of persuasion: Smart people are afraid to tell stories. But while we often resort to facts and figures to get a point across, the truth is that human stories possess the greatest power to convict, persuade, and, most importantly, unite. As neuroscientists and behavioral social scientists have demonstrated, the secret to stronger human connection is not more data—it is better stories. By learning to share the narratives of our own lives—and paying closer attention to those of others—we can all become more unifying as leaders in our communities, families, and places of work. This session will be led by AEI President **Arthur Brooks**.

- 10:30–11:30 AM Insights for Effective Messaging**
Professional media trainer **Beverly Hallberg** will offer best practices for public speaking, media interviews, and distilling what you are most passionate about in 60 seconds.
- 11:30–1:30 PM Lunch Session: Elevator Pitch Competition**
What do you stand for? Why is free enterprise important to you? Use your new skills developed in our morning session to compete in our 60-second elevator pitch competition over lunch. LN members will volunteer to compete in this special interactive event.
- 1:45–2:45 PM Free Enterprise and Economic Growth**
Join AEI Scholar **Michael Strain** for a discussion of our country’s economic future and the importance of increasing opportunity for poor and middle-class Americans.
- 2:45–4:30 PM Session Break**
- 4:30–5:30 PM Networking Reception**
- 5:30–6:30 PM America’s Invisible Crisis**
Today, nearly one in six prime working age men has no paid work at all—and nearly one in eight is out of the labor force entirely, neither working nor even looking for work. What does this mean for the economy and the future of American society? During this dinner session, **Nicholas Eberstadt**, AEI’s Henry Wendt Chair in Political Economy, and public opinion expert **Karlyn Bowman** will discuss the collapse of paid work in the United States, as well as American attitudes toward work more broadly.
- 7:00–8:00 PM Closing Dinner Session**
We will lead a discussion on the policy issues addressed over the course of the entire conference. We would also like to hear from you about what you found most valuable during the summit. **Rachel Manfredi** will lead this session.

Saturday, September 22, 2018

- 10:45 AM Robert Axson departs Washington, DC (DCA)**

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202.862.5800 | aei.org

Kara McMahon
External Affairs Associate